



The California Energy Commission ARRA Reporting Process Reference Guide for Interagency Subrecipients

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American Recovery and Reinvestment Act (ARRA) Overview

The American Recovery and Reinvestment Act of 2009 (ARRA) is a \$787 billion economic stimulus package signed into law by President Barack Obama on Feb. 17, 2009. A percentage of the package targets spending (contracts, grants, and loans) and the rest includes tax cuts and entitlements such as Medicaid and Social Security Administration payments. <http://www.recovery.gov/FAQ/glossary/Pages/glossaryHome.aspx>

As a direct response to the economic crisis, the Recovery Act has three immediate goals:

- Create new jobs as well as save existing ones
 - Spur economic activity and invest in long-term economic growth
 - Foster unprecedented levels of accountability and transparency in government spending
- http://www.recovery.gov/About/Pages/The_Act.aspx

ARRA Reporting Overview

The purpose of the ARRA reporting process is to provide a mechanism for tracking and reporting on ARRA grants, loans, and contracts. This includes tracking and reporting on the disbursement of ARRA funds and the program's resulting performance metrics in accordance with the ARRA transparency and accountability requirements in Section 1512 of the Recovery Act. The reporting process includes the Department's process for reporting to required state and federal entities.

The Department's ARRA Reporting Process meets the following ARRA reporting requirements:

- Federal government ARRA reporting (OMB, Section 1512, Recovery.gov, FederalReporting.gov)
- State of California ARRA reporting (OCIO, CAAT)
- Department of Energy performance metrics reporting

ARRA reporting is in addition to the Department's standard project reporting requirements.

Training Materials Icons

Throughout the Reference Guide, the following icons are used to draw your attention to additional information:



NOTE: This icon indicates a note regarding the database functionality or a step in the process. Be sure to read the notes carefully as they provide important additional information.



WARNING: This icon indicates an important caution regarding the reporting process. Be sure to read these carefully.

Note: All references to time throughout this guide are in Pacific Standard Time (PST.)

**ARRA Funds Disbursement Flow Diagram**

The ARRA Funds Disbursement Flow Diagram below shows how ARRA funds flow from the Federal government to organizations receiving ARRA funds.

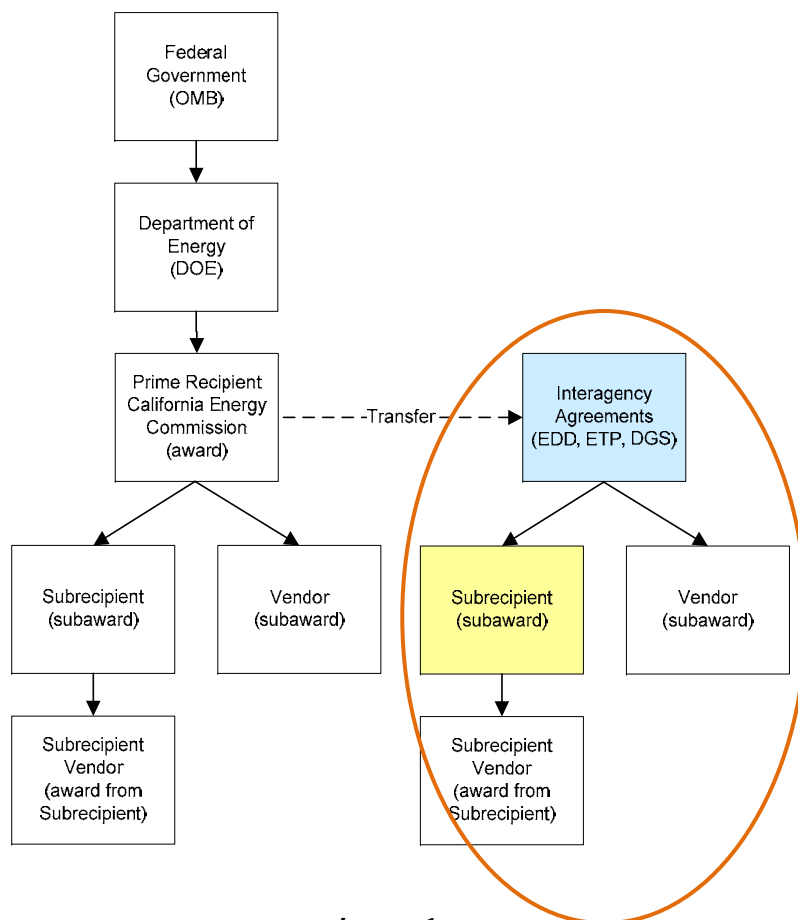


Image 1:
Funds Disbursement Diagram

ARRA Reporting Flow Diagram

The ARRA Reporting Flow Diagram below shows to whom each organization reports to for ARRA reporting compliance.

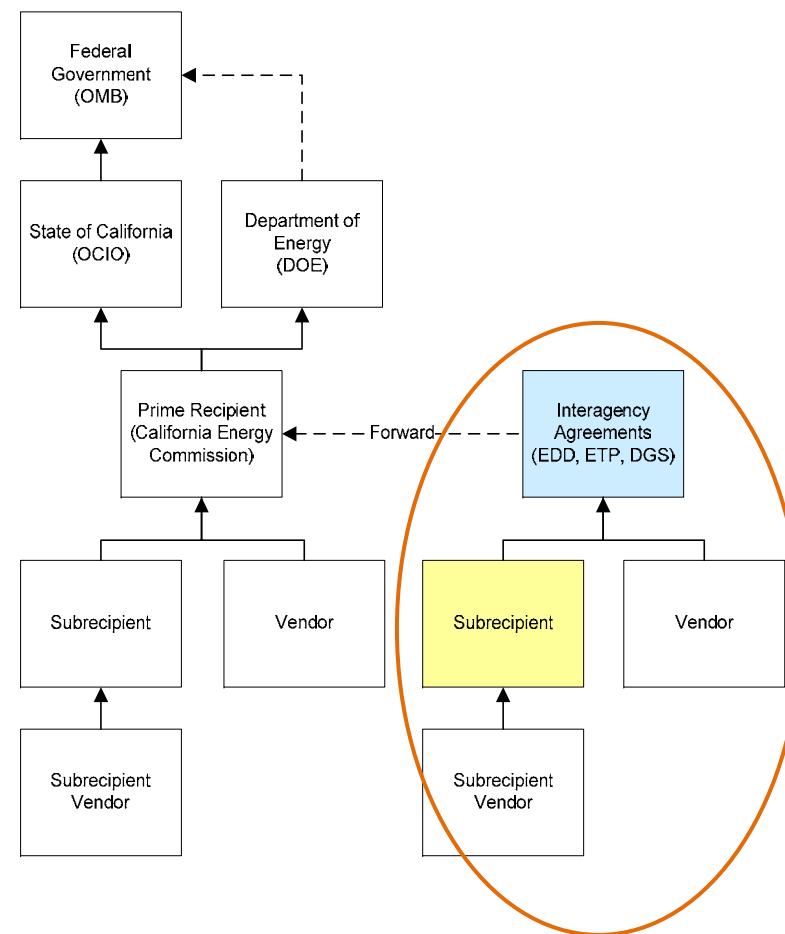


Image 2:
Reporting Flow Diagram



ARRA Subrecipient Reporting Process

Q. When does ARRA reporting begin for a Subrecipient?

A. The ARRA reporting process starts when a subaward is executed (also called an agreement.) As defined by the Federal Government, the official subaward is the date that the agreement is signed by both:

- 1) **The Department; and**
- 2) **The Subrecipient**

If the subaward is a contract, the Department of General Service's (DGS) signature is required prior to agreement execution. If the subaward is a grant or loan, DGS approval is not required.



OMB released updated ARRA guidance (memoranda_2010/m10-08) concerning jobs counting and data quality on 12/21/2009. These updates are reflected in this reference guide.

Step 1 ARRA Reporting Training – Initial Setup

Who: Subrecipient

When: At Project Kickoff Meeting

Each Subrecipient should receive ARRA Reporting training from the Department they have an agreement with.

During the training, the Subrecipient will receive the following information:

1. The background and purpose of the ARRA.
2. Review and explanation of each data field in the ARRA IA Subrecipient Reporting Spreadsheet.



The ARRA Subrecipient Spreadsheet contains eight (8) spreadsheets (tabs). The first four (4) tabs require data entry by the Subrecipient. The following two (2) tabs require data entry by Building Retrofit Subrecipients. The next tab provides assistance with calculating the number of jobs created. The final tab provides reporting and spreadsheet instructions.

Subrecipient Vendors Additional PoP Addresses DOE_Admin DOE_Retrofits DOE_Retrofits End Use FTE Calculator Instructions

Screenshot: ARRA IA Subrecipient Spreadsheet tabs



All Subrecipients must have a DUNS Number to participate in ARRA funding. The DUNS Number is not a Federal Tax ID. To obtain a DUNS number, please see the Central Contractor Registration (CCR) website at: <https://www.bpn.gov/ccr>



The ARRA reporting spreadsheet does not accept DUNS Numbers with leading zeros. In instances where your DUNS Number begins with a zero, precede your DUNS Number entry with an apostrophe ('). For example, the DUNS Number 012345678 would be entered as '012345678

3. Work with the ARRA Reporting Trainer or Project Manager to fill out the ARRA IA Subrecipient Reporting Spreadsheet to insure that any data questions or issues are addressed immediately. The ARRA IA Subrecipient Reporting Spreadsheet has an "initial set up" and "monthly reporting" process for each ARRA subaward that is issued by the Department.

**Step 1 ARRA Reporting Training – Initial Setup, cont.**

ARRA reporting is due no later than the 3rd calendar day of every month.

Complete the following procedural steps for each ARRA program award:

3.1 Fill in all of the fields on the **Subrecipient** tab.



The **Subaward Date** is the execution date of the agreement or most recent amendment date

3.2 Fill in all of the fields on the **Vendors** tab.

- Subrecipient Vendor subawards over \$25,000 are REQUIRED to be reported on in detail by the Federal government
- The Department is REQUESTING all Subrecipient Vendors be reported in detail, including the optional fields, regardless of the subaward amount (+/- \$25,000)



Provide either the Vendor DUNS Number -OR- the Vendor Name AND Vendor Zip code + 4 for each Vendor

3.3 Fill in all of the fields on the **Additional PoP Addresses** tab for any known additional Places of Performance.

- Congressional District:
<https://writerep.house.gov/writerep/welcome.shtml>
- State Senate District:
<http://www.sen.ca.gov/ftp/SEN/senplan/senate.htm>
- State Assembly District:
<http://www.assembly.ca.gov/defaulttext.asp> (Then click on “Find my District” on the left hand side of the page)

3.4 Fill in all of the relevant fields on the **DOE Admin** tab.

- Fill out the **Reporting Period (month)** and the **Reporting Period (year)** to identify when the report was submitted (Ref# A1, A2).
- Work with the Department Contract Manager to jointly fill out the **Administrative Data** fields.
- **Department of Energy and California Energy Commission Performance Data (Ref# C).** These fields are all required DOE and Department performance metrics, including non-ARRA funds.
- **Department of Energy and California Energy Commission Performance Data (Ref# F – V).** These fields are project-specific performance metrics. You should complete the project metrics only for those items defined in the Department Agreement reporting section.

3.5 Fill in all of the relevant fields on the **DOE Retrofits** tab.

**Step 1 ARRA Reporting Training – Initial Setup, cont.**

- You should complete the building retrofits information only for those items defined in the Reporting Requirements section of the Department Agreement reporting section.

3.6 Fill in all of the relevant fields on the [DOE Retrofits End Use](#) tab.

- You should complete the building end use information only for those items defined in the Reporting Requirements section of the Department Agreement reporting section.

- Receive an overview of the ARRA IA Subrecipient Reporting Reference Guide.
- Receive instructions on how to submit the ARRA IA Subrecipient Reporting Spreadsheet to the Department.
- Receive the Post-Training Checklist to be completed within 5 days of the training session.
- Complete the Post-Training Checklist activities within 5 days of receiving ARRA Reporting Training to confirm compliance with the ARRA reporting process and to submit an ARRA IA Subrecipient Reporting Spreadsheet to the Department. Completing the Post-Training Checklist will:
 - Ensure a successful submission to the Department
 - Complete spreadsheet data validation

- Address any submittal issues immediately for efficient reporting
- Practice submitting your reporting spreadsheets to the Department



The Post-Training Checklist can be found in this ARRA IA Subrecipient Reporting Reference Guide, along with the other following documents:

- Appendix A: Glossary
- Appendix B: Post-Training Checklist
- Appendix C: Frequently Asked Questions

Step 2 Project work is performed

Who: Subrecipient

When: Throughout the project timeframe

Perform the project work as described in the Department Agreement/subaward.

Step 3 ARRA Subrecipient Monthly Reporting

Who: Subrecipient

When: Each month, **by the 3rd calendar day**

For each ARRA Agreement that you receive directly from the Department, the use of ARRA funds must be reported on monthly, including FTEs and project performance data.

As a Subrecipient, you must:

- Report to the Department using the ARRA IA Subrecipient Reporting Spreadsheet

**Step 3** **ARRA Subrecipient Monthly Reporting, cont.**

- Report by the 3rd calendar day of each month
- Report all project (subaward) data, including FTEs and project performance
- Report using Microsoft Excel 2003, if possible



If a project is funded by multiple ARRA subawards (for example, an ARRA grant and an ARRA loan), a separate ARRA IA Subrecipient Reporting Spreadsheets must be filled out and maintained for each ARRA subaward/agreement.



The ARRA Subrecipient Spreadsheet contains eight (8) spreadsheets (tabs). The first four (4) tabs require data entry by the Subrecipient. The following two (2) tabs require data entry by Building Retrofit Subrecipients. The next tab provides assistance with calculating the number of jobs created. The final tab provides reporting and spreadsheet instructions.

Subrecipient Vendors Additional PoP Addresses DOE_Admin DOE_Retrofits DOE_Retrofits End Use FTE Calculator Instructions

Screenshot: ARRA IA Subrecipient Reporting Spreadsheet

There should be a lead for each consortium, which is the agency/organization that signed the agreement

- In the case of consortia of many cities, there should be a lead city responsible for reporting the Subrecipient spreadsheet/data for the consortia.
- At a minimum, the PoP tab should have an entry for each city address that is in the consortia.

- It is not a requirement to enter PoP's for each project location; however, it is requested by the Department to provide that level of detail since it will be posted on the California Recovery Website.
- The PoP address tab is used so the state and federal recovery websites are able to show where the work is being done with ARRA funds.

By the 3rd calendar day of each month, complete the following procedural steps:

1. Open a copy of the last submitted ARRA IA Subrecipient Reporting Spreadsheet (saved on your computer).
2. Review and verify that every field in the spreadsheet contains the correct information.



According to the Recovery Act Bulletin 09-19 Mandatory Section 1512 Reporting Data Fields, the following fields are considered mandatory by the Federal Government, the State of California, and the Department. A file will be rejected if they are not filled in. Even if the data field does not apply to a specific award being entered, a value still must be entered. The file will also be rejected if the data entered is not valid or is in an improper format.

Mandatory Fields

- FBO/CFDA Number
- Federal Program Title

**Step 3** **ARRA Subrecipient Monthly Reporting, cont.**

- Award Number
 - Subrecipient DUNS No.
 - Subaward Number
 - The number on the Department Agreement
 - Subrecipient DBA Name
 - Subrecipient Congressional District
 - Look up: <https://writerep.house.gov/writerep/welcome.shtml>
 - Amount of Subaward
 - Total Amount of Sub awards Dispersed
 - Subaward Date
 - Subrecipient Primary Place of Performance
 - Full 9 digit zip codes must be used. If you need assistance finding the last 4 digits of your zip code, visit <http://www.usps.com/zip4/> Zip codes will be validated against the reported Congressional District.
 - Congressional District
<https://writerep.house.gov/writerep/welcome.shtml>
 - State Assembly and Senate Districts
<http://www.assembly.ca.gov/defaulttext.asp>
(Click on “Find my District” on the left hand side of the page)
 - Subrecipient Indication of Reporting Applicability
 - If this is answered “Yes”, the top 5 names and compensation fields must be completed
 - Subrecipient Number of Jobs
 - Enter a “0” if no jobs were created; a blank space will lead to the record being rejected
 - Subrecipient Description of Jobs Created
3. Update the following fields monthly with the current month’s data on the [Subrecipient](#) tab:
- **Subrecipient Number of Jobs (Ref# 92.a)**
 - Recipients will be required to report on the number of direct jobs created and/or retained due to ARRA funded projects and activities. **This jobs number should include subcontractors who are performing work paid through ARRA funds.**
 - **Direct jobs are those jobs that are compensated directly through ARRA funds.** Subcontractors or vendors who are performing ARRA work and billing those hours to an ARRA award (such as an electrician or general contractor) should be included. Indirect jobs such as material suppliers should not be included.
 - The Number of Jobs must be reported as full-time equivalent (FTE). A calculator is available on the [FTE Calculator](#) tab in the Subrecipient spreadsheet to assist you with this calculation. **You will need to input the ARRA funded employee hours per month (including those at a subcontractor or vendor level) into the spreadsheet, and an FTE value will be**

**Step 3** **ARRA Subrecipient Monthly Reporting, cont.**

- provided for you. This value is to be input in field B44 of the Subrecipient tab.

- **Subrecipient Description of Jobs Created** (Ref# 92.b)
- Update the **Amount of Subaward**, if an amendment was executed
- Update the **Subaward Date**, if an amendment was executed



The **Subaward Date** is the execution date of the agreement or most recent amendment date



DO NOT fill in **Total Amount of Subawards Dispersed** (Ref# 79). This data will be filled in by the state Department.

4. Project specific performance metrics on the **DOE Admin** tab:
 - a. Fill out the **Reporting Period (month)** and the **Reporting Period (year)** to identify when the report was submitted (Ref# A1-A2).
 - b. Work with the Department Contract Manager to jointly fill out the **Administrative Data** fields together as defined in the ARRA IA Subrecipient Reporting Spreadsheet (Ref# B). These fields should be already completed in the “Initial Setup” step.

- c. **Department of Energy and California Energy Commission Performance Data** (Ref# C). These fields are all required DOE and Department performance metrics, including non-ARRA funds.
- d. **Department of Energy and California Energy Commission Performance Data** (Ref# F – V). These fields are project-specific performance metrics. You should complete the project metrics only for those items defined in the Department Agreement reporting section.



Fields B4 – B13 are filled in prior to the beginning of the monthly reporting process

5. Add any new Places of Performance (PoP) in the **Additional PoP Addresses** tab (fill in all columns).
 - Congressional District:
<https://writerep.house.gov/writerep/welcome.shtml>
 - State Senate District:
<http://www.sen.ca.gov/ftp/SEN/senplan/senate.htm>
 - State Assembly District:
<http://www.assembly.ca.gov/defaulttext.asp> (Then click on “Find my District” on the left hand side of the page)
6. Add any new Subrecipient Vendors in the **Vendors** tab
 - Subrecipient Vendor subawards over \$25,000 are **REQUIRED** to be reported on in detail by the Federal government

**Step 3 ARRA Subrecipient Monthly Reporting, cont.**

- The Department is **REQUESTING** all Subrecipient Vendors be reported in detail, including the optional fields, regardless of the subaward amount (+/- \$25,000)



Provide either the Vendor DUNS Number -OR- the Vendor Name AND Vendor Zip code + 4 for each Vendor

7. Add any new Building End Use information in the [DOE Admin Bldg End Use](#) tab.
 - Only complete the fields as defined in the subaward/agreement reporting section.
8. Add any new building retrofits in the [DOE Retrofits](#) tab.
 - Only complete the fields as defined in the subaward/agreement reporting section.
9. Save the ARRA IA Subrecipient Reporting Spreadsheet to your computer. Make sure the file is:
 - Microsoft Excel .xls format, (version 2003 preferred)
 - File name format: <ARRA_SubAward Number_Subrecipient Name_current date>
 - Example: ARRA_03456_City of LA_20091103



Do not use periods "." in the file name as these do not load properly.



Submit the ARRA IA Subrecipient Reporting Spreadsheet to the Department by the 3rd calendar day of each month.

10. After submitting the ARRA IA Subrecipient Reporting Spreadsheet (each month), the Department will inform you if the file was one of the following:
 - A. **Rejected:** One or more mandatory fields were blank in the ARRA IA Subrecipient Reporting Spreadsheet and the file must be updated and resubmitted;
-OR-
 - B. **Review Required:** There are errors in the submitted ARRA IA Subrecipient Reporting Spreadsheet and the file must be updated and resubmitted;
-OR-
 - C. **Approved:** The ARRA IA Subrecipient Reporting Spreadsheet passed the data validation.



Appendix A: Glossary

ARRA Reporting Agencies

Department of Energy (DOE): DOE's overarching mission is to advance the national, economic, and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex (<http://www.energy.gov/about/index.htm>). The DOE's role in ARRA is to report performance metrics associated with each federal award to the federal government.

Office of the Chief Informational Officer (OCIO):

The OCIO, also referred to at the State of California, is responsible for advising the Governor on the strategic management and direction of the state's IT resources, establishing performance management and ensuring IT services are efficient and effective

(http://www.itsp.ca.gov/Organizing_for_Success/Roles_and_Responsibilities.asp).

The OCIO's role in the ARRA Reporting Process is to ensure the necessary systems are in place to provide proper oversight, accounting, reporting, and project management controls to ensure all ARRA funds are used efficiently and for the intended purposes. California is a centralized reporting state for ARRA. As such, all State Department data will be collected and submitted through the CAAT according to Recovery Act Bulletin,

[09-20 Request for Data Using the California ARRA and Accountability Tool](#).

Office of Management and Budgets (OMB): The OMB, also referred to as the Federal Government, oversees

and coordinates the Administration's procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, to develop better performance measures and coordinating mechanisms, and to reduce any unnecessary burdens on the public

(http://www.whitehouse.gov/omb/organization_role).

The OMB's role in the ARRA Reporting Process is to address Federal agency requirements to provide spending and performance data to the "Recovery.gov" website and to deliver a website that allows citizens to hold the government accountable for every dollar spent the law and guidance require Federal agencies to implement mechanisms to accurately track, monitor, and report on taxpayer funds (http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-10.pdf).

ARRA Reporting Process Terms

Award: A contract, grant or a loan from a Federal Agency (<http://www.recovery.gov/FAQ/glossary/Pages/glossaryHome.aspx>).

CCR: Central Contractor Registration (CCR) is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores and disseminates data in support of agency acquisition missions. <https://www.bpn.gov/ccr/default.aspx>

Determination: The awarding agency shall make the final determination of whether its contracting entity is a Subrecipient or Vendor (*DOE definition*).



DUNS Number: Dun & Bradstreet (D&B) provides a Data Universal Numbering System (DUNS) Number, a unique 9-digit identification number, for each physical location of a business or organization. Using the DUNS Number as a unique identifier for your organization helps the Government know the business or organization submitting ARRA reports.⁹

Interagency Agreement: An agreement or partnership between two or more state agencies. For an example, the Energy Commission has ARRA Interagency Agreements with the Department of General Services (DGS), the Employment Development Department (EDD), and the Employment Training Panel (ETP).

Prime recipient: Non-Federal entity receiving Recovery Act funding (grants, loans or cooperative agreements) directly from the federal government (<http://www.recovery.gov/FAQ/glossary/Pages/glossaryHome.aspx>), i.e. the Energy Commission receiving funds from DOE.

Subaward: A Non-State entity receiving Recovery Act funding from a State entity as a contract, grant or loan.

Subrecipient: A non-Federal entity that expends Federal awards received from another entity to carry out a Federal program, but does not include an individual who is a beneficiary of such a program. Subrecipients are awarded Recovery Act funding through a legal instrument from the prime recipient to support the performance of any portion of the substantive project or program for which the prime recipient received the Recovery Act funding. Additionally, the terms and conditions of the Federal award are carried forward

to the Subrecipient. The characteristics of a Subrecipient that make it distinct from a vendor are summarized below (*DOE definition*).

A Subrecipient:

1. Determines who is eligible to receive what Federal financial assistance;
2. Has its performance measured against whether the objects of the Federal program are met;
3. Has responsibility for programmatic decision making;
4. Has responsibility for adherence to applicable Federal program compliance requirements; and
5. Use the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of these pass-through entity.

Subrecipient Vendor: A dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program, for a Subrecipient (also sometimes referred to as a Sub Vendor). See “Vendor” definition for more details.

Vendor: A dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. Prime recipients may purchase goods or services needed to carry out the project or program from vendors. Vendors are not awarded funds by the same means as Subrecipients and are not subject to the terms and conditions of the Federal financial assistance award. Program compliance requirements normally do not pass through to vendors. The characteristics of a vendor that make it distinct from a Subrecipient are summarized below (*DOE definition*). A Vendor:



1. Provides the goods and services within normal business operations;
2. Provides similar goods and services to many different purchasers;
3. Operates in a competitive environment;
4. Provides goods and services that are ancillary to the operation of the Federal program; and
5. Is not subject to compliance requirements of the Federal program.

Use of Judgment in Making Determination: There may be unusual circumstances or exceptions to the listed characteristics. In making the determination of whether a Subrecipient or Vendor relationship exists, the substance of the relationship is more important than the form of the agreement. It is not expected that all the characteristics will be present and judgment should be used in determining where an entity is a Subrecipient or Vendor (*DOE definition*).

ARRA Reporting Systems

California ARRA and Accountability Tool (CAAT):

The CAAT was developed as an online data filing tool, allowing California State Departments receiving ARRA funds to provide required data about the funds received and disbursed. Departments must **NOT** register at FederalReporting.gov as suggested by Recovery.gov. **ALL** California State departmental reporting must be done through CAAT according to the Recovery Act Bulletin,

[09-20 Request for Data Using the California ARRA and Accountability Tool.](#)



Appendix B: Post-Training Checklist

PLEASE COMPLETE WITHIN 5 DAYS AFTER THE ARRA TRAINING

-
- ☐ **1. Complete the ARRA Subrecipient Reporting Spreadsheet**
-

- ☐ **2. Save a copy of the ARRA Subrecipient Reporting Spreadsheet to your computer**

File name format: <ARRA_Subaward Number_Subrecipient Name_current date yyymmdd>

Example: ARRA_03456_CityofLA_20091103



Important Note: Do not use any periods "." in the file name

- ☐ **3. Submit the ARRA Subrecipient Reporting Spreadsheet to the Department**
-

- ☐ **4. Contact the Department's Project Manager**

After submitting the Subrecipient Reporting Spreadsheet to the Department, contact the Department Project Manager to make sure they successfully received it.

Note: For any questions or issues, contact your Departmental Project Manager.



Appendix C: Frequently Asked Questions

BACKGROUND

1. *What is ARRA?*

On Feb. 13, 2009, Congress passed the American Recovery and Reinvestment Act of 2009 at the urging of President Obama, who signed it into law four days later. A direct response to the economic crisis, the Recovery Act has three immediate goals:

- Create new jobs as well as save existing ones
- Spur economic activity and invest in long-term economic growth
- Foster unprecedented levels of accountability and transparency in government spending

2. *How does this impact me as a Sub recipient?*

Subrecipients are required to report to the Department by the 3rd day of every month to stay in compliance with the Federal Government, State of California, and the Department. This is in addition to the current reporting requirements currently instated in the Department Agreement.

3. *When is the reporting period?*

The reporting begins October 1, 2009 and continues through January 2011. Subrecipient reporting to the Department will be due on the 3rd calendar day of every month.

ARRA Reporting Agencies

4. *Who am I, as the Subrecipient, supposed to report to?*

- ONLY the Department that you received the subaward from

5. *What other agencies are involved in the ARRA Reporting process?*

- Office of the State Chief Information Officer (OCIO)
- Office of Management and Budget (OMB)
- Department of Energy (DOE)

6. *Who is the OCIO?*

The OCIO (State of California Office of the State Chief Information Officer), also referred to only as the State of California for reporting purposes, is responsible for advising the Governor on the strategic management and direction of the state's IT resources, establishing performance management and ensuring IT services are efficient and effective.¹



7. *What is the OCIO's role in ARRA?*

The OCIO's role in the ARRA Reporting Process is to ensure the necessary systems are in place to provide proper oversight, accounting, reporting, and project management controls to ensure all ARRA funds are used efficiently and for the intended purposes. California is a centralized reporting state for ARRA. As such, all State Department data will be collected and submitted through the CAAT.²

In less formal terms, OCIO has developed a system (CAAT) that will receive all State of California ARRA data (including the Energy Commission and Departmental data). OCIO is responsible for sending that data to OMB for all of California.

8. *Who is the OMB?*

The OMB (Office of Management and Budgets), also referred to as only the Federal Government for reporting purposes, oversees and coordinates the Administration's procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, to develop better performance measures and coordinating mechanisms, and to reduce any unnecessary burdens on the public.³

9. *What is the OMB's role in ARRA?*

The OMB's role in the ARRA Reporting Process is to address Federal agency requirements to provide spending and performance data to the "Recovery.gov" website and to deliver a website that allows citizens to hold the government accountable for every dollar spent the law and guidance require Federal agencies to implement mechanisms to accurately track, monitor, and report on taxpayer funds.⁴

10. *Who is the DOE?*

DOE's overarching mission is to advance the national, economic, and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.⁵

11. *What is the DOE's role in ARRA?*

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, appropriates funding for the Department of Energy (DOE) to issue/award formula-based grants. DOE is also responsible for gathering specific performance metrics relevant to each federal award, ensuring compliance with the ARRA Act.



ARRA Reporting Process Terms

12. What is an Award?

A contract, grant or a loan from a Federal Agency.⁶

13. What is a Subaward?

A Non-State entity receiving Recovery Act funding from a State entity as a contract, grant or loan.

14. What is an Interagency Agreement?

An agreement or partnership between two or more state agencies. An example is the Employment Training Panel (ETP) in a partnership with the Employment Development Department (EDD).

15. What is a Prime recipient?

Non-Federal entity receiving Recovery Act funding (grants, loans or cooperative agreements) directly from the federal government,⁶ i.e. the Energy Commission receiving funds from the Department of Energy.

16. What is a Subrecipient?

A non-federal entity awarded Recovery funding from the IA Department to support a project or program for which the Prime recipient received Recovery funding.⁶

17. What is a Vendor?

Dealer, distributor or other seller providing goods or services that are required to carry out a Federal Program, for the Department.⁷

18. What is a Subrecipient Vendor?

Dealer, distributor or other seller providing goods or services that are required to carry out a Federal Program, for a Subrecipient.⁷

19. What is the difference between a Subrecipient and a Vendor?

Subrecipients support performance of a mission. Vendors provide products or services in support of the mission. For Vendors, data requirements are reduced. Prime Recipients may not delegate reporting to Vendors.⁹



ARRA Reporting Systems

20. *What is the California ARRA and Accountability Tool (CAAT)?*

The CAAT was developed as an online data filing tool, allowing California State Departments receiving ARRA funds to provide required data about the funds received and disbursed. Departments must **NOT** register at FederalReporting.gov as suggested by Recovery.gov. **ALL** California State departmental reporting must be done through CAAT.⁸

ARRA Reporting Overview

21. *What is the Department's ARRA Reporting process?*

The Department's responsibility every month is to track reporting requirements and make this process as effective and efficient as possible. At a high level:

- a. The Subrecipient will receive an ARRA Subrecipient Reporting Spreadsheet from the Department with reporting requirements included.
- b. Every month the Subrecipient will submit their completed spreadsheet to the Department.
- c. Once approved, the reports will be forwarded further up the chain to meet the reporting requirements as defined by the federal government.

The reporting process will continue to evolve to support the Department's ARRA funds business processes, including financial oversight, audits, and program evaluation.

22. *What if I'm not able to turn in my ARRA Subrecipient Reporting Spreadsheet on time?*

If a Subrecipient anticipate issues with meeting the reporting deadline, it should contact the Department as soon as practicable to discuss how the reporting requirement will be met. Reporting extensions may be granted on a case-by-case basis by the appropriate Federal funding agency for extraordinary circumstances.⁹

23. *What if I'm non-compliant with the reporting requirements?*

Non-compliance with the reporting requirement as established under section 1512 of the Recovery Act is considered a violation of the award agreement because awards made with Recovery funds have a specific term requiring such compliance. The Awarding Agency may use any customary remedial actions necessary to ensure compliance, including withholding funds, termination, or suspension and debarment, as appropriate.⁹

24. *Do I need to register in FederalReporting.gov?*

NO. California is a centralized reporting state, which means the Subrecipient reports to the Department only and then the Department will report to relevant agencies. Then these other agencies will perform data validation techniques on the reports they receive and will send those files to the State of California and Federal government through FederalReporting.gov.



DUNS Numbers

25. What is a DUNS Number?

Dun & Bradstreet (D&B) provides a Data Universal Numbering System (DUNS) Number, a unique 9-digit identification number, for each physical location of a business or organization. Using the DUNS Number as a unique identifier for your organization helps the Government know the business or organization submitting ARRA reports.⁹

26. Who needs a DUNS Number?

Each entity (except individuals) who receives Recovery Act funds directly or indirectly should have a DUNS number. Prime recipients and Subrecipients need to know the DUNS number as listed on the award document at point of reporting.⁹ Vendors and Subrecipient Vendors are not required to obtain a DUNS number.

27. How does my organization get a DUNS number?

All U.S. Government contractors can receive a DUNS number at no charge and, under normal circumstances, within 24-72 hours when using the D&B web form process. Go to <http://www.ccr.gov/Start.aspx> to start your CCR registration. Because CCR is a federally mandated and funded program, there is no cost to register.⁹

28. What do I need to request a new DUNS Number?

You will be asked to provide the following information:⁹

- Legal Name
- Headquarters name and address for your organization
- Doing business as (DBA), or other name by which your organization is commonly recognized
- Physical Address, City, State and Zip Code
- Mailing Address (if separate from Headquarters and/or physical address)
- Telephone Number
- Contact Name and Title
- Number of Employees at your physical location

29. My organization has more than one DUNS number. Which one do I report with?

You need to provide the DUNS number associated with your award. If no DUNS number is listed on your award document or contract, please go back to your application and use the DUNS number you provided to the Department at that time.¹⁰



30. *I am not sure if I have a DUNS number, how can I check?*

CCR created a website www.bpn.gov/ccr that allows you to search for an existing DUNS by entering your Company Name and Address under the *CCR Search* function. If you find a D&B record on your entity then you can have your DUNS emailed to you immediately.⁹

31. *I have a DUNS number, why did it come back as invalid?*

There are few reasons your DUNS number may not be found:

- The DUNS Number entered is not a valid DUNS number
- A new DUNS may have been issued due to:
 - a merger/acquisition of your company
 - change in the legal business status

In this instance it is recommend you use the CCR www.bpn.gov/ccr *CCR Search* function to search for an existing DUNS Number by entering your Company Name and Address. If one is not located using that search then you can request a new DUNS from the same site.⁹

Submitting the Spreadsheets

32. *How do I submit a spreadsheet to the Department?*

The Department will provide you with details on how to submit the spreadsheet to them.

33. *What happens if multiple reports are submitted for an award (or subaward)?*

The last report submitted is considered the final report. Previous versions will be maintained for audit purposes. Clear coordination between the IA Department and Subrecipients is critical.¹²

34. *Will I get a confirmation of my report submission?*

The Department should send you a confirmation an email after you submit your report.

35. *What happens if errors are discovered after the final report is posted to Recovery.Gov?*

The information will be corrected during the next reporting cycle (the next quarter).¹²

36. *On the Vendor tab, should I report contracts awarded or funds dispersed?*

Yes. You should report on all contracts awarded and the amounts dispersed.



Other Information

37. *If I funded 3 State PY's (FTEs) to track ARRA and 1 Contractor to verify data, should I report 4 PY's?*

If all 4 positions were full time, funded with ARRA funds, and the positions are new or retained then yes, you would report 4 FTEs in the Number of Jobs field.

38. *For Jobs Created: If an employee worked a certain amount of time, but has only been reimbursed for half of that time, what are the correct hours to report on the spreadsheet?*

Regardless when the employee is reimbursed for the hours that they have worked, each agency needs to report the total hours the employee has worked, up to the reporting date.

39. *For Additional Places of Performance: The Federal Government is asking for every building, streetlight, traffic signal, private residence, etc. to be reported on. Is there an easier way to report this information?*

The Federal Government doesn't want to display people's addresses [or location of each streetlight.] However, they do want to show how the community is benefitting. They would like an address listed that is representative of the community (i.e. city hall, county seat, etc.).

40. *Does a sole proprietor count as an individual in rows 10 and 11 of the Interagency Agreements?*

A sole proprietor does not count as an individual.

41. *Is a sole proprietor considered a Vendor or a Subrecipient?*

A sole proprietor is a Subrecipient.

42. *Where can I get more guidance or information?*

- There are detailed FAQs for technical questions on the FederalReporting.gov website located at: <https://www.federalreporting.gov/federalreporting/faq.do>.
- For policy related questions and answers on recipient reporting, OMB has published FAQs located at: http://www.whitehouse.gov/omb/recovery_faqs/.
- For information related to the Department of Energy, DOE has published FAQs located at: <http://www.energy.gov/recovery/faqs.htm>

Footnotes

1. Footnote: http://www.itsp.ca.gov/Organizing_for_Success/Roles_and_Responsibilities.asp
2. Footnote: http://recovery.ca.gov/Content/Documents/recoveryactbulletins/source/Recovery_Act_Bulletin_09-20.pdf
3. Footnote: http://www.whitehouse.gov/omb/organization_role
4. Footnote: http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-10.pdf



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INTERAGENCY SUBRECIPIENT REFERENCE GUIDE

5. Footnote: <http://www.energy.gov/about/index.htm>
6. Footnote: <http://www.recovery.gov/FAQ/glossary/Pages/glossaryHome.aspx>
7. Footnote: OMB Reporting Guidance: Quarterly Reporting through FederalReporting.gov,
DOE Recovery Clearinghouse July 2009
8. Footnote: http://recovery.ca.gov/Content/Documents/recoveryactbulletins/source/Recovery_Act_Bulletin_09-20.pdf
9. Footnote: <https://www.federalreporting.gov/federalreporting/faq.do#faq1060>
10. Footnote: <http://www.recovery.gov/FAQ/Pages/ForRecipients.aspx#dunns>
11. Footnote: www.bpn.gov/ccr